

FIG. 1

Client Module
122

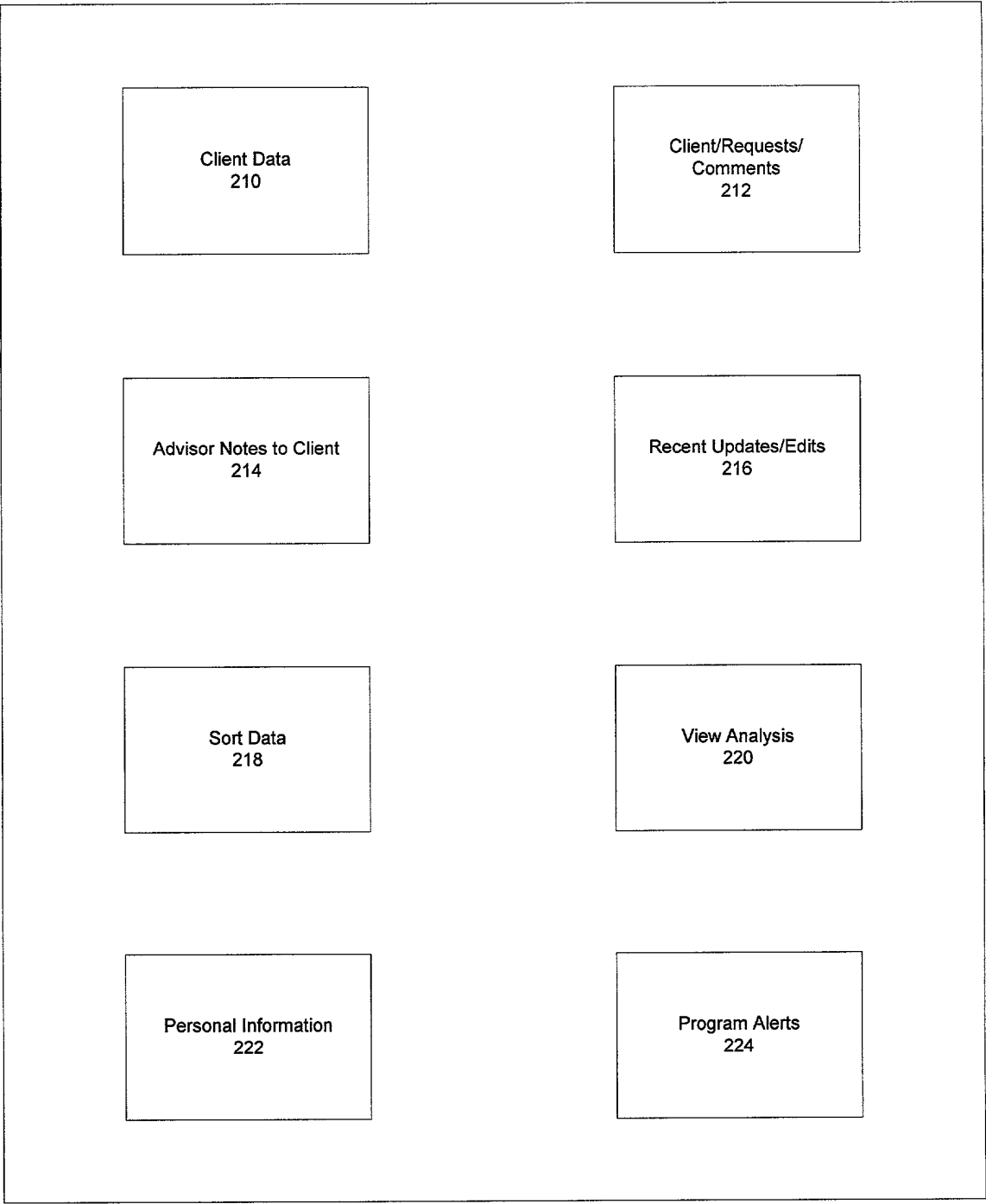


FIG. 2

Advisor Module
124

Select Client
310

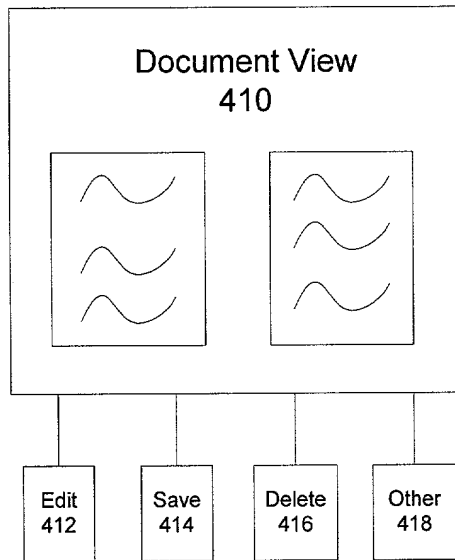
Select Activity
312

Results
of Action
314

Update Client
History
316

FIG. 3

Collaborative Module
126



Advisor Input
420

Posting/Bulletin
Board
422

Update
Information
424

Participants
430

Client Data
432

Client Requests/
Comments
434

Real Time Chat
436

Client History
438

FIG. 4

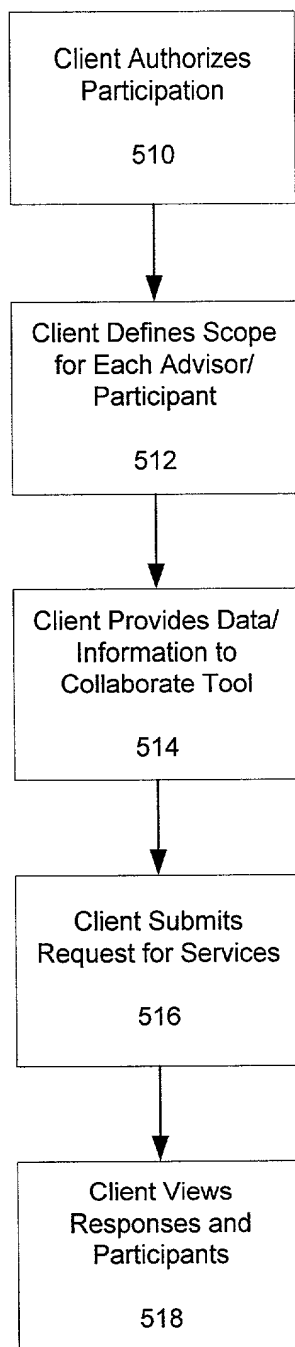


FIG. 5

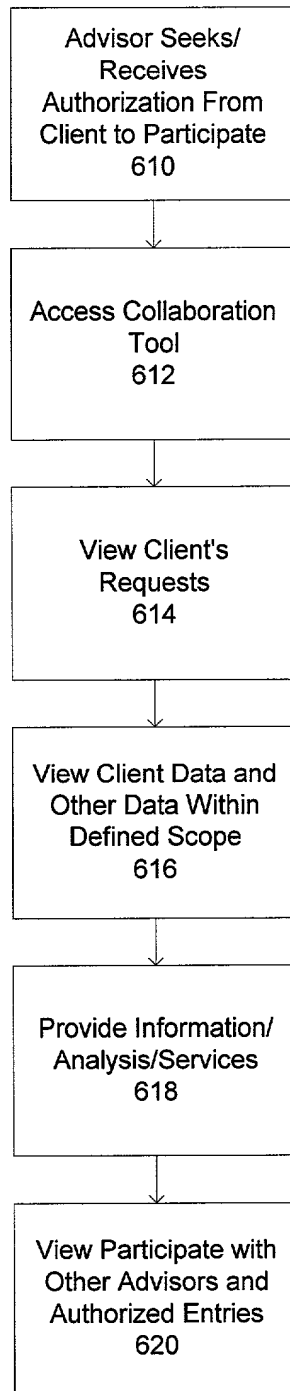


FIG. 6

Sign Up Request

Please Fill in the following (all are required). When you are done, press "Next" to continue.

- ☒ I am an **advisor** and would like to join the next generation of financial advisors
☐ I am a **client** and would like to build my own powerful financial advisory team

Personal Information about yourself:

	First Name
	Last Name
	Address
	City
	State
	Zip
	Phone Number
	Email Id

Next *704*

FIG. 7

Adviser Module 122

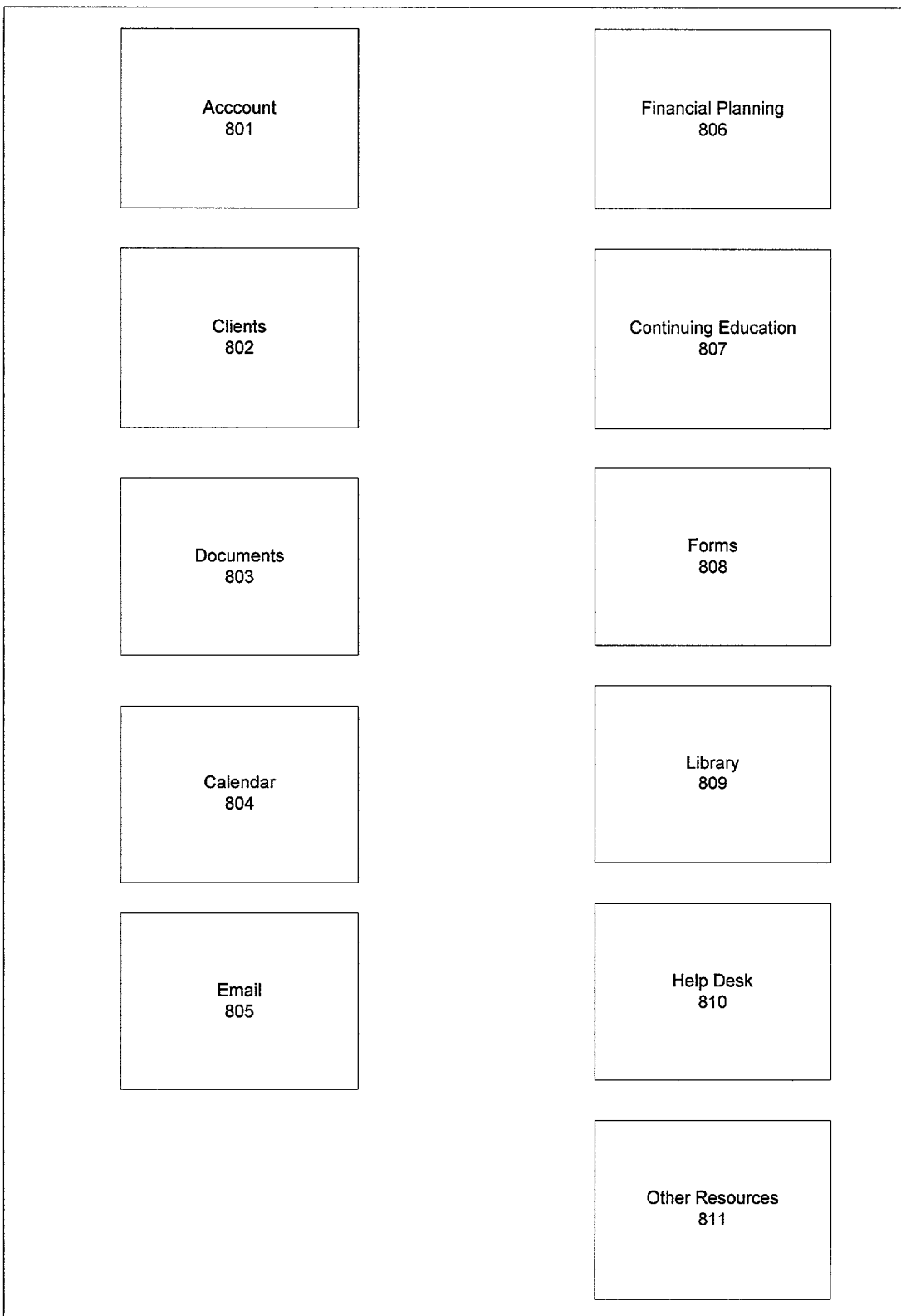


FIG. 8

Client Module 120

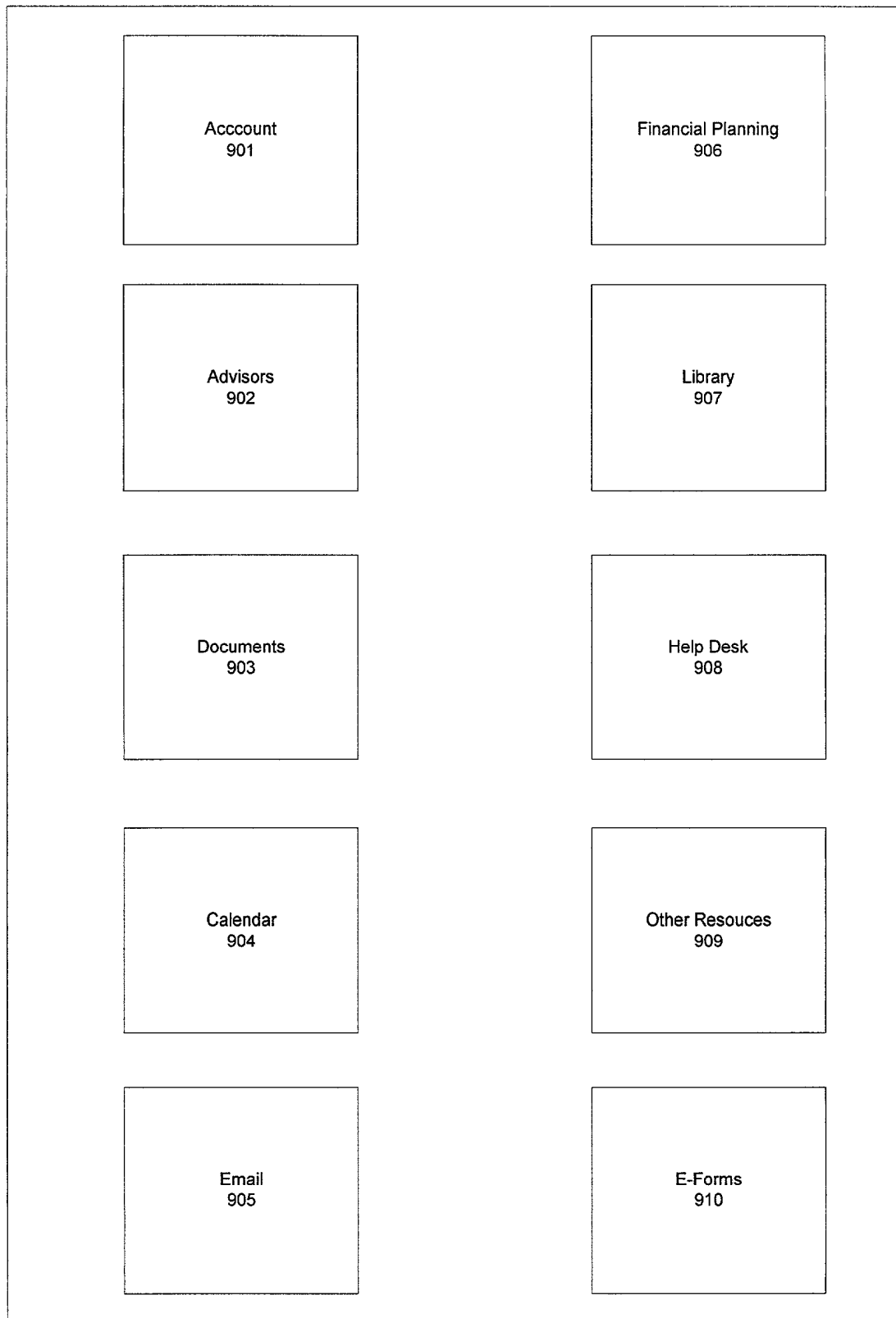


FIG. 9

10997926-09001

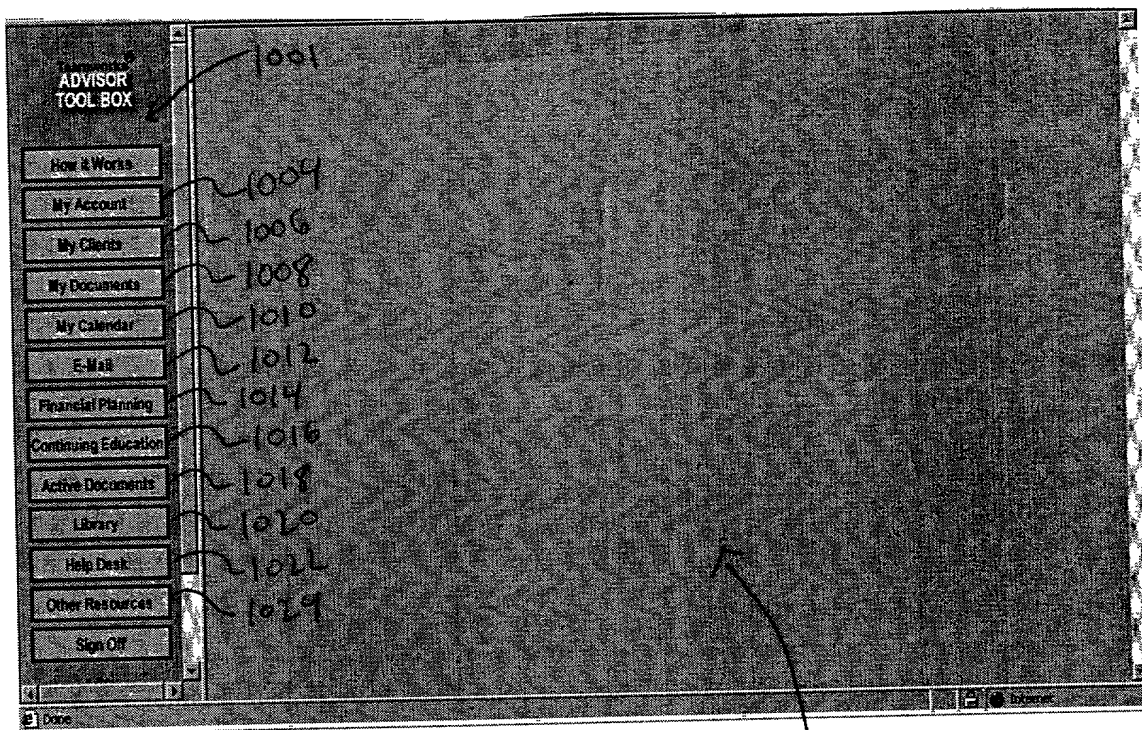


FIG. 10

0967926-090601

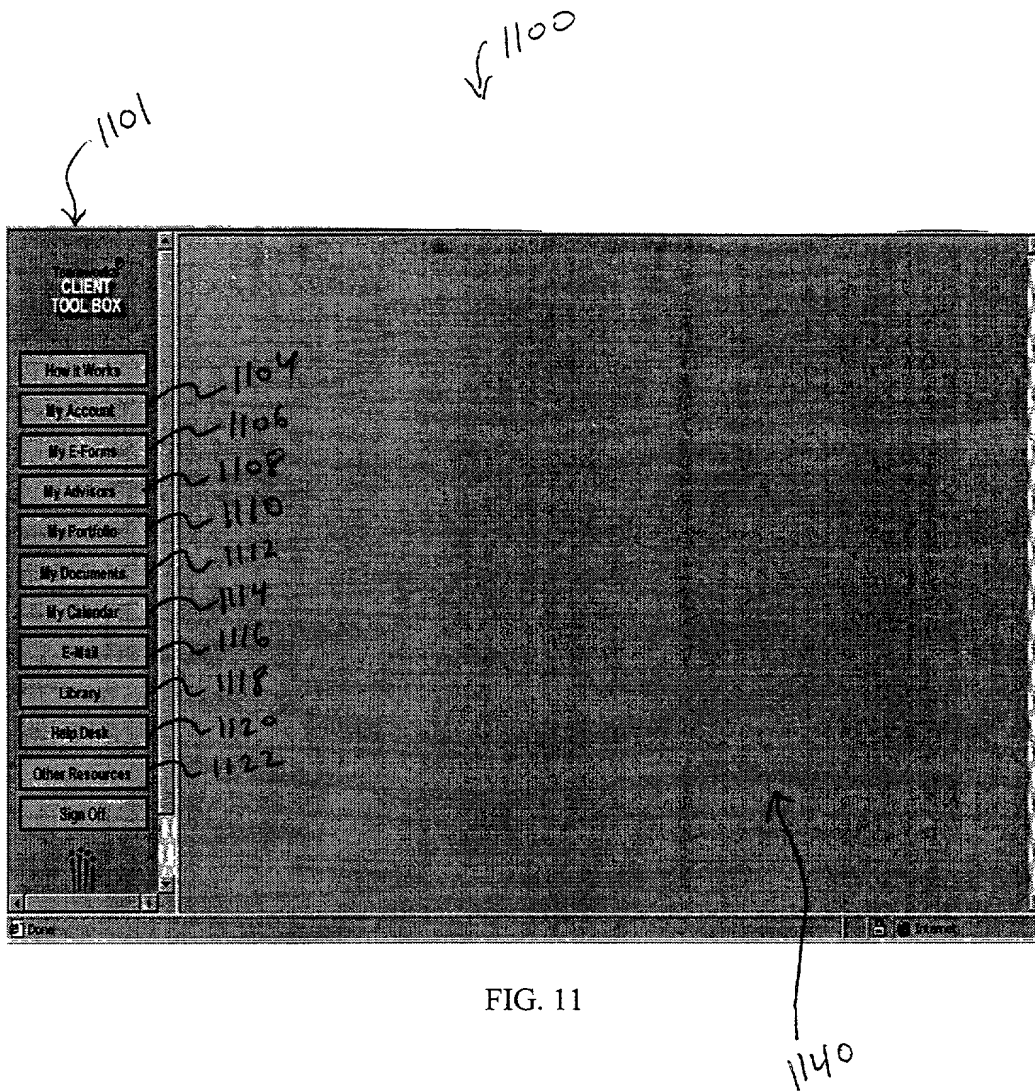


FIG. 11

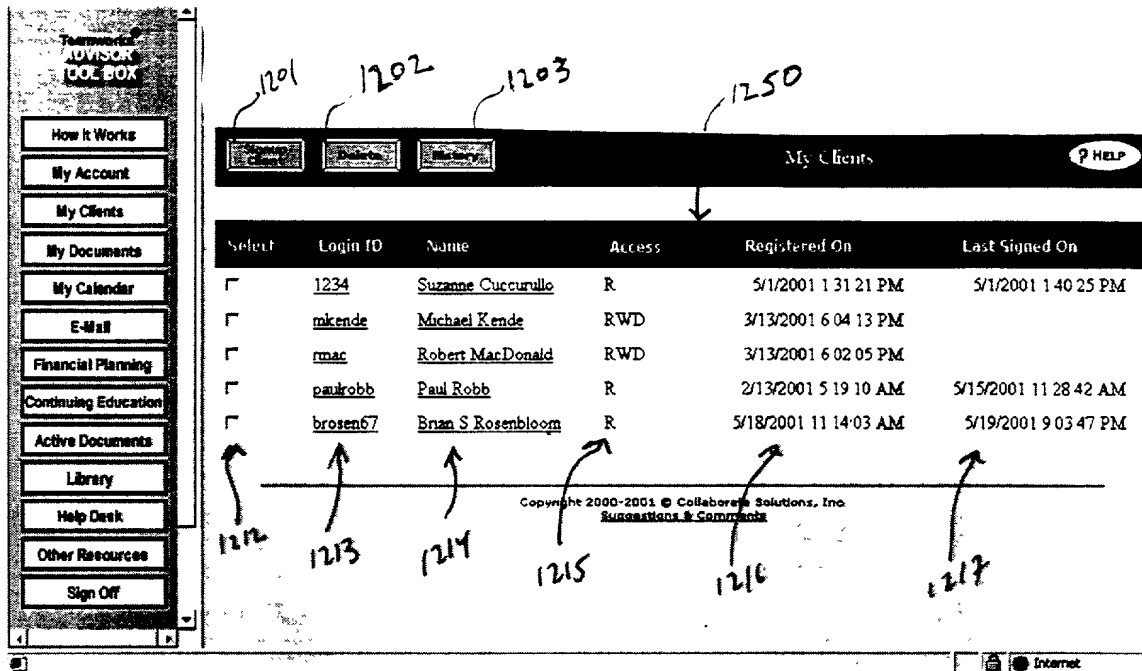


FIG. 12

Registration Information (Fields marked with * are required)

*Name (First, Middle, Last)

*Email Address

Login Information

*Login ID

*Password

*Re-enter Password

Billing Information

The charges for this client (\$8/mo.) will be added to your bill.

Discount

☐ I would like to pay by the month (at the price shown above)

☐ I would like to receive a 20% discount by paying for a full year

Sign Up

Cancel

1304

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Done Internet

FIG. 13

0967926 090601

CLIENT TOOL BOX

- How It Works
- My Account
- My E-Forms
- My Advisors
- My Portfolio
- My Documents
- My Calendar
- E-Mail
- Library
- Help Desk
- Other Resources
- Sign Off

My Advisors Help

1402

Action	Name	Access	Description	Last Signed On
Delete History	Jane A Does	ALLOW		
Delete History	James G Gatto	ALLOW		5/19/2001 10:07:23 PM

[Add Advisor](#) ~1410

If your advisor is not online yet: [Click Here](#)

To request your advisor be online: [Click Here](#)

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[Suggestions & Comments](#)

Internet

FIG. 14

Name Search:

1502

Adviser's Name

Specialty (select one or more optional)

1503

- ☐ Attorney
- ☐ Accountant
-
-
- ☐ Financial Planner

State (optional)

City (optional)

1504

Search

1506

1506

Specialty Search

Specialty (select one or more)

1507

- ☐ Attorney
- ☐ Accountant
-
-
- ☐ Financial Planner

State (optional)

City (optional)

1508

Search

1511

1509

FIG. 15

1600



Name	Specialty	State	City	Description	Action
John Doe	Attorney	DC	Washington	AV Rated	<div>ADD</div>
Jane Does	Accountant	DC	Washington	CPA	<div>ADD</div>
John Doe	Financial Planner	DC	Washington		<div>ADD</div>

Done

FIG. 16

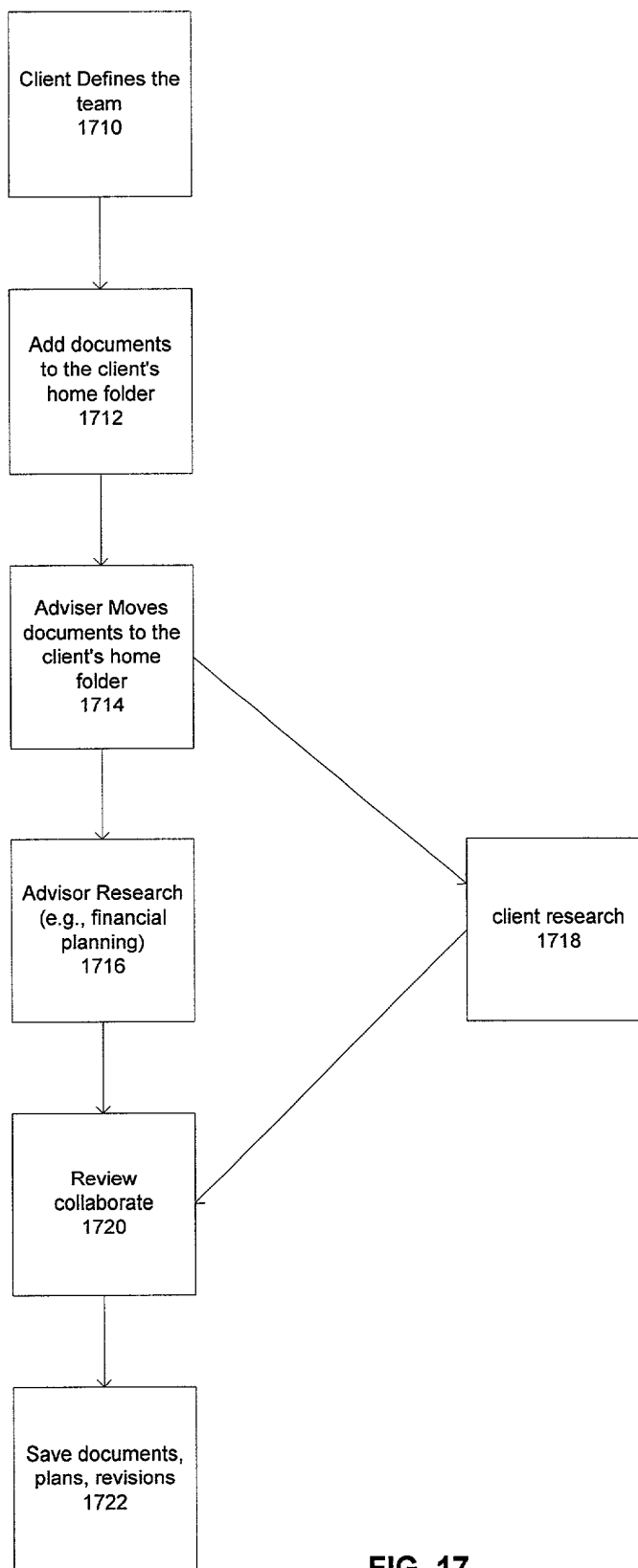


FIG. 17

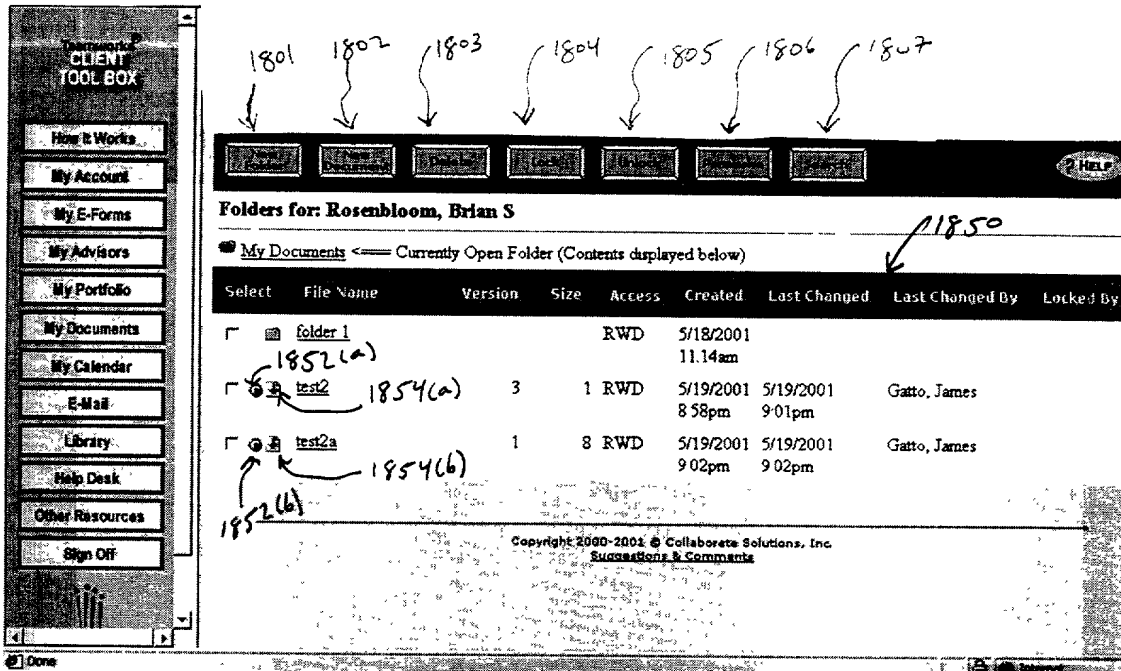


FIG. 18

? HELP

1900

1910

1902

Select File

Remove File

Document Name:

~ 1912

Email notification?:

72-1789

Comments

1990

1914

OK

Cancel

FIG. 19

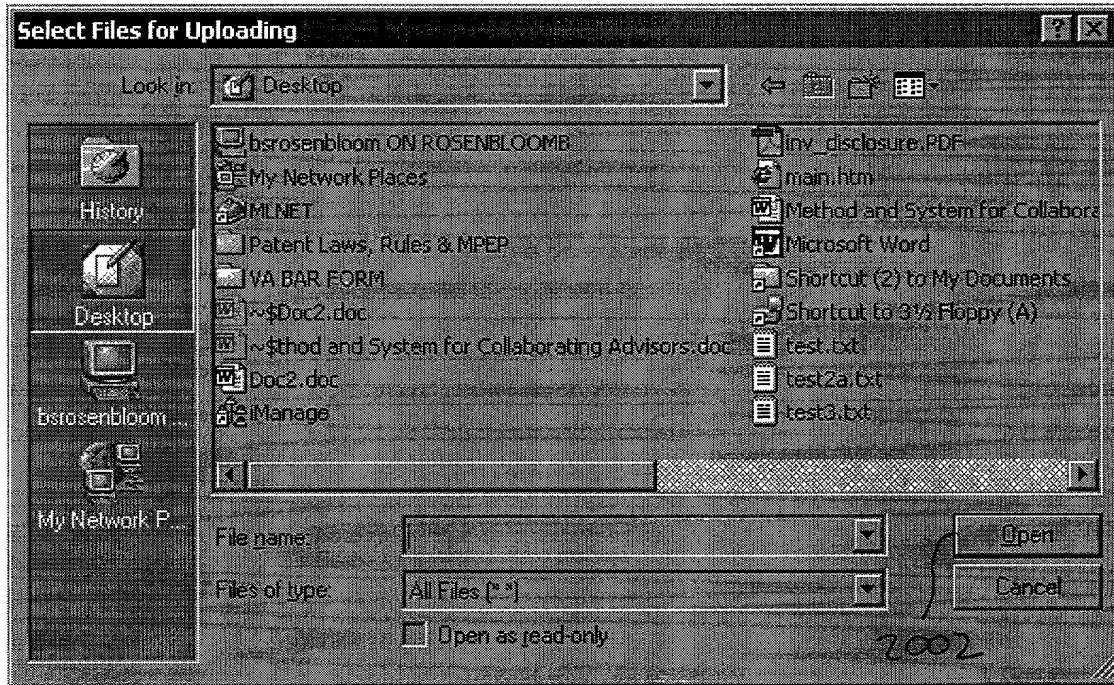


FIG. 20

Create Folder

Create Folder In My Documents

Folder Name

Comments

2102

OK Cancel

FIG. 21

1050601-9267060

ADVISOR TOOL BOX

How it Works
My Account
My Clients
My Documents
My Calendar
E-Mail
Financial Planning
Continuing Education
Active Documents
Library
Help Desk
Other Resources
Sign Off

2201 2202 2203 2204 2205 2206 2207

2250

Folders for: Gatto, James G.

My Documents ← Currently Open Folder (Contents displayed below)

Select	File Name	Version	Size	Access	Created	Last Changed	Last Changed By	Locked By
<input type="checkbox"/>	<u>My Financial Plans</u>			RWD	2/21/2001 4:10pm			
<input checked="" type="checkbox"/>	test3.txt	1	24	RWD	5/20/2001 3:24pm	5/20/2001 3:24pm	Gatto, James	

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Done Internet

FIG. 22

Move Document(s)

? HELP

Remember. Make sure the document you are moving is in a format that can be viewed by the intended recipients (see Help for more).

Select a folder to move document(s) to:

Advisor: Gatto, James (jgatto)
Folder: My Documents
Folder: My Financial Plans

Client: Kende, Michael (mkende)
Folder: My Documents

Client MacDonald, Robert (imac)
Folder My Documents

Movie

Cancel

Done

Internet

FIG. 23

10960-036/000

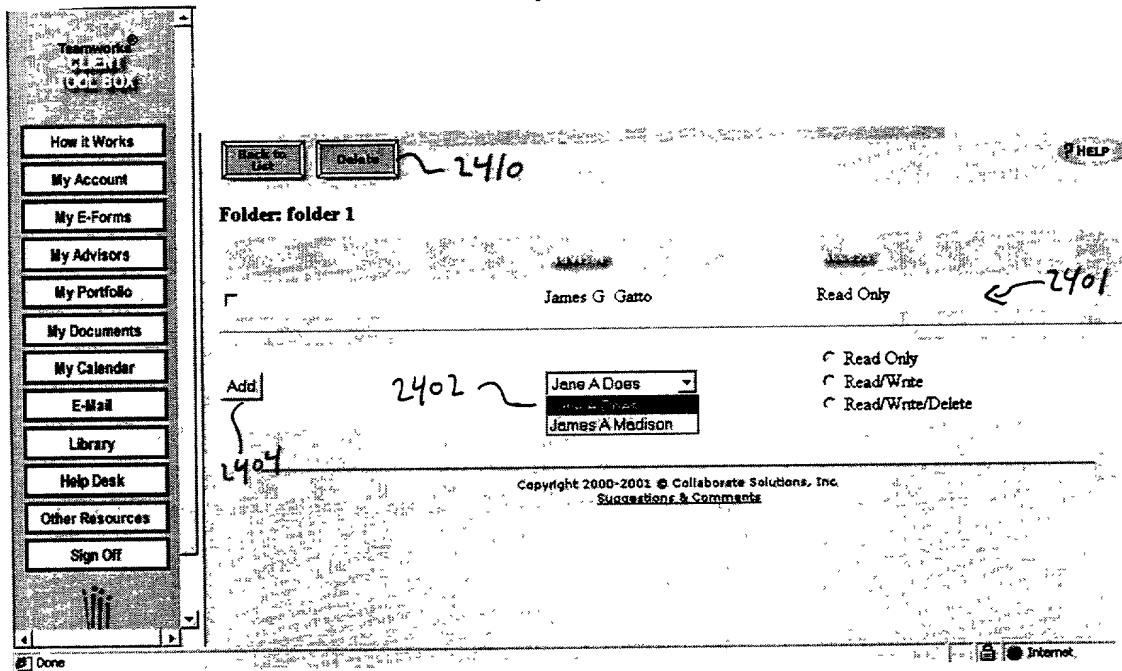


FIG. 24

0937926-090601

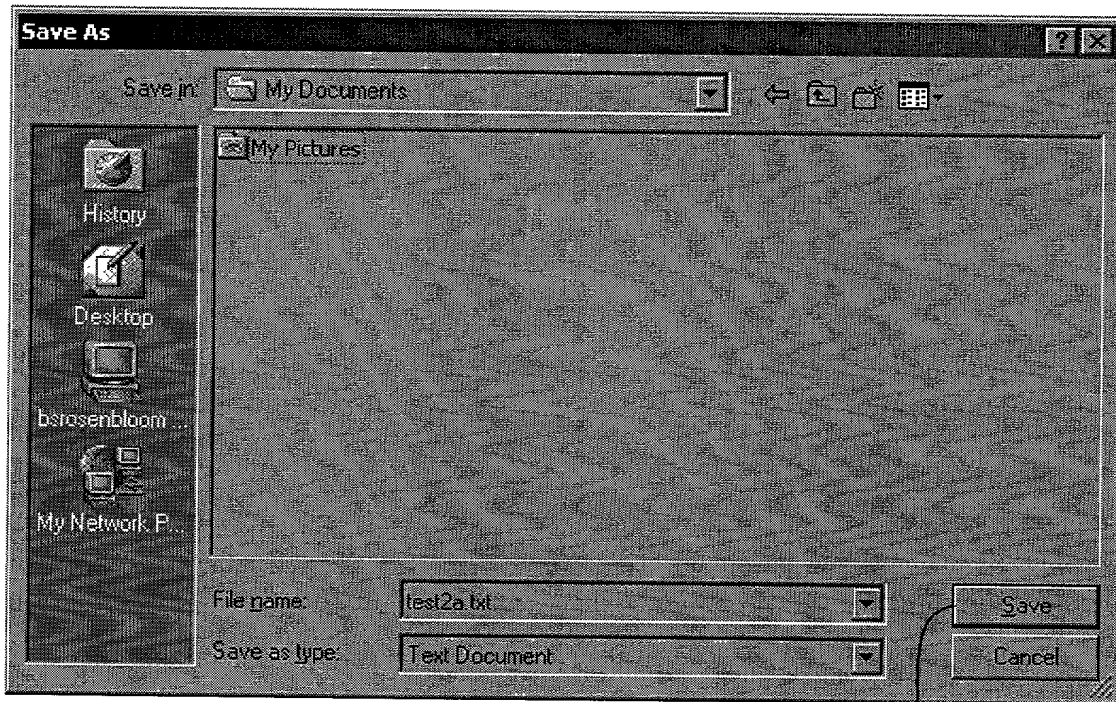


FIG. 25

2502

0967926 090601

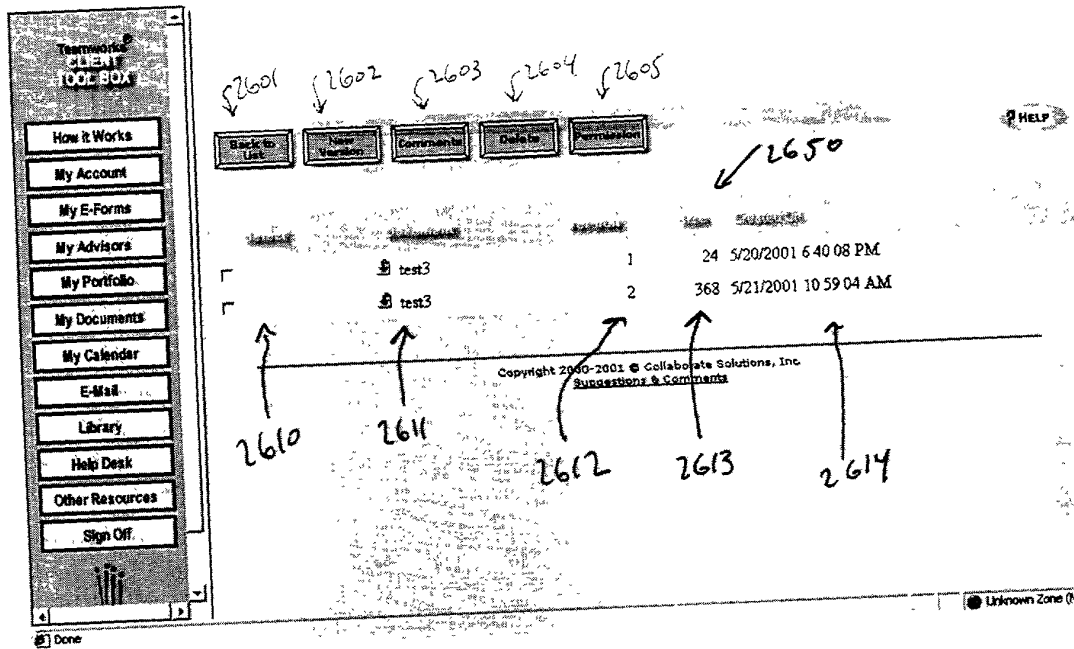


FIG. 26

The screenshot shows the 'Add Document Version' dialog box. Handwritten annotations include: '2700' with an arrow pointing to the title bar; '2710' with an arrow pointing to the 'Files' list; '2702' with an arrow pointing to the 'Select File' button; '2715' with an arrow pointing to the 'Email notification?' checkbox; '2714' with an arrow pointing to the 'OK' button; and '2716' with an arrow pointing to the 'Comments' text area. The dialog box contains a 'Document Name' field with the value 'test3', a 'Files' list, 'Select File' and 'Remove File' buttons, an 'Email notification?' checkbox, and a 'Comments' text area. At the bottom are 'OK' and 'Cancel' buttons. The footer contains copyright information and a 'Done' button.

FIG. 27

103060" 9267/960

✓ 2800

Document Comments

Document Name test3

Comments

2802

Save Back

5/21/2001 10:59:04 AM

Brian S. Rosenbloom

Document new version created

2810

5/20/2001 6:40:08 PM

Brian S. Rosenbloom

Document initially created

Done

Internet

FIG. 28

09679679601

Handwritten annotations at the top of the toolbar:

- 2901 points to the 'New Folder' button.
- 2902 points to the 'New Document' button.
- 2903 points to the 'Delete' button.
- 2904 points to the 'Move' button.
- 2905 points to the 'Lock' button.
- 2906 points to the 'Unlock' button.

Handwritten annotation 2950 points to the 'My Documents' link in the breadcrumb trail.

Handwritten annotation 2954 points to the 'test3' file in the table.

Handwritten annotation 2952 points to the bottom left of the interface.

Navigation Sidebar:

- How it Works
- My Account
- My Clients
- My Documents
- My Calendar
- E-Mail
- Financial Planning
- Continuing Education
- Active Documents
- Library
- Help Desk
- Other Resources
- Sign Off

Toolbar:

- New Folder
- New Document
- Delete
- Move
- Lock
- Unlock
- Search
- HELP

Folders for: Rosenbloom, Brian S Note: You are now viewing a Client area

My Documents <— Currently Open Folder (Contents displayed below)

Select	File Name	Version	Size	Access	Created	Last Changed	Last Changed By	Locked By
<input type="checkbox"/>	folder 1			R	5/18/2001 11 14am			
<input type="checkbox"/>	test2	3	1	RWD	5/19/2001 8 58pm	5/19/2001 9 01pm	Gatto, James	Rosenbloom, Brian
<input type="checkbox"/>	test2a	1	8	RWD	5/19/2001 9 02pm	5/19/2001 9 02pm	Gatto, James	Rosenbloom, Brian
<input type="checkbox"/>	test3	4	367	RWD	5/20/2001 6 40pm	5/21/2001 3 16pm	Gatto, James	

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Done Internet

FIG. 29

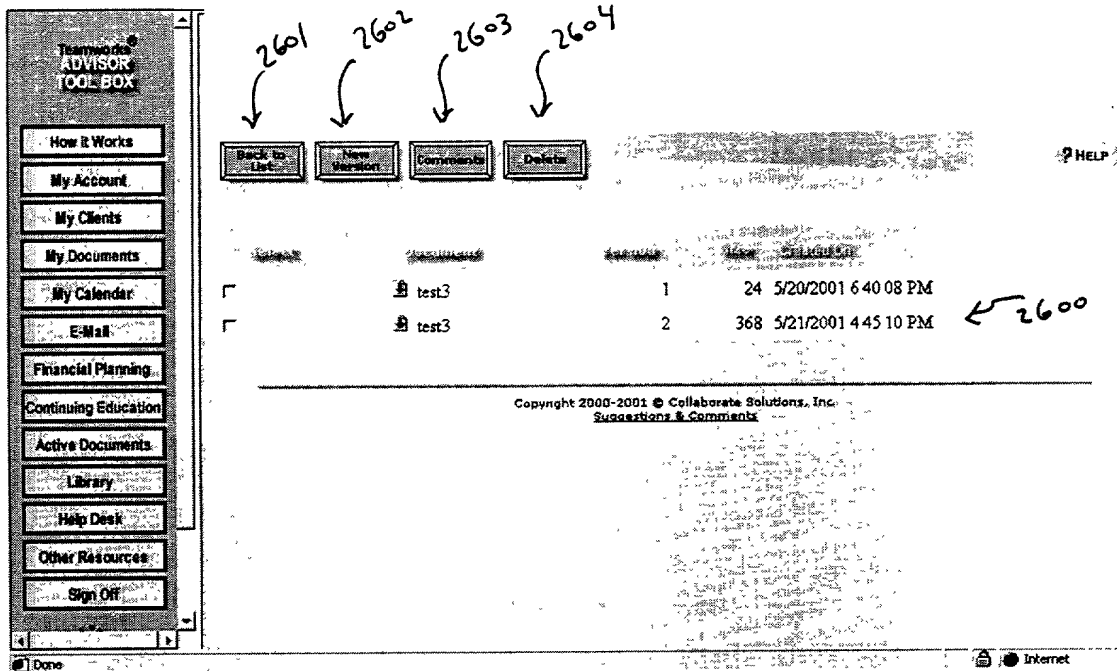


FIG. 30

103060-9267000

Teamwork
CLIENT
TOOL BOX

How It Works
My Account
My E-Forms
My Advisors
My Portfolio
My Documents
My Calendar
E-Mail
Library
Help Desk
Other Resources
Sign Off

3102 3104 3106 3100

Update History Delete Show Login ID ? HELP

My Account Information

Name:	Brian	S	Rosenbloom
Email:	brian@mail.com		
Password:			
Confirm Password:			
Address:			
City:			
State:			
Postal Code:			

Done Internet

FIG. 31

3200

CLIENT TOOL BOX

How It Works

My Account

My E-Forms

My Advisors

My Portfolio

My Documents

My Calendar

E-Mail

Library

Help Desk

Other Resources

Sign Off

Document Name	Count	Date	Action	Author	Folder	Target Folder
test doc	1	5/19/2001 2:58:25 PM	add	James G Gatto	folder 1	
test doc	1	5/19/2001 2:58:34 PM	read	James G Gatto	folder 1	
test doc	1	5/19/2001 2:59:12 PM	move	James G Gatto	folder 1	folder 1
test doc	1	5/19/2001 5:15:57 PM	read	Brian S Rosenbloom	folder 1	
test doc	2	5/19/2001 5:18:36 PM	add	Brian S Rosenbloom	folder 1	
test doc	1	5/19/2001 5:22:33 PM	read	Brian S Rosenbloom	folder 1	
test doc	2	5/19/2001 5:23:01 PM	delete	Brian S Rosenbloom	folder 1	
test2	1	5/19/2001 8:58:24 PM	add	James G Gatto	My Documents	
test2	1	5/19/2001 8:58:38 PM	read	James G Gatto	My Documents	

Done Internet

FIG. 32

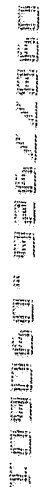


FIG. 33

109060"9267060

ADVISOR TOOL BOX

- How it Works
- My Account
- My Clients
- My Documents
- My Calendar
- E-Mail
- Financial Planning
- Continuing Education
- Active Documents
- Library
- Help Desk
- Other Resources
- Sign Off

Standard Form Types

3400

Action	Name	Description	Client	Create Date	Last Modified
Add	Notice of Withdrawal Rights		Suzanna Cuccurullo		

3406

3402

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Suggestions & Comments

3404

Unknown Zone (Mixed)

FIG. 34

[illegible]

3602

Unknown Zone (M)

TECHNICAL CLIENT TOOL BOX

How It Works
My Account
My E-Forms
My Advisors
My Portfolio
My Documents
My Calendar
E-Mail
Library
Help Desk
Other Resources
Sign Off

My Forms HELP

Action	Name	Description	Advisor	Create Date	Last Modified
Delete Done	Notice of Withdrawal Rights	Notice of Withdrawal Rights	James G Gatto	5/22/2001 12:52:36 PM	5/22/2001 11:22:00 PM

3500

3702

3503

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Done

Unknown Zone (Mbz)

FIG. 37

3400
↓

Financial Advisor
TOOL BOX

How It Works

My Account

My Clients

My Documents

My Calendar

E-Mail

Financial Planning

Continuing Education

Active Documents

Library

Help Desk

Other Resources

Sign Off

Standard Form Types

Help

Action	Name	Description	Owner	Create Date	Last Modified
Delete	3801				
Edit	Notice of Withdrawal Rights	Notice of Withdrawal Rights	Brian S Rosenbloom	5/22/2001 12 52 36 PM	5/22/2001 1 15 20 PM
File	3802				
Add	Notice of Withdrawal Rights		Suzanne Cucunulla		

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Done Internet

FIG. 38

Additional Modules 3901

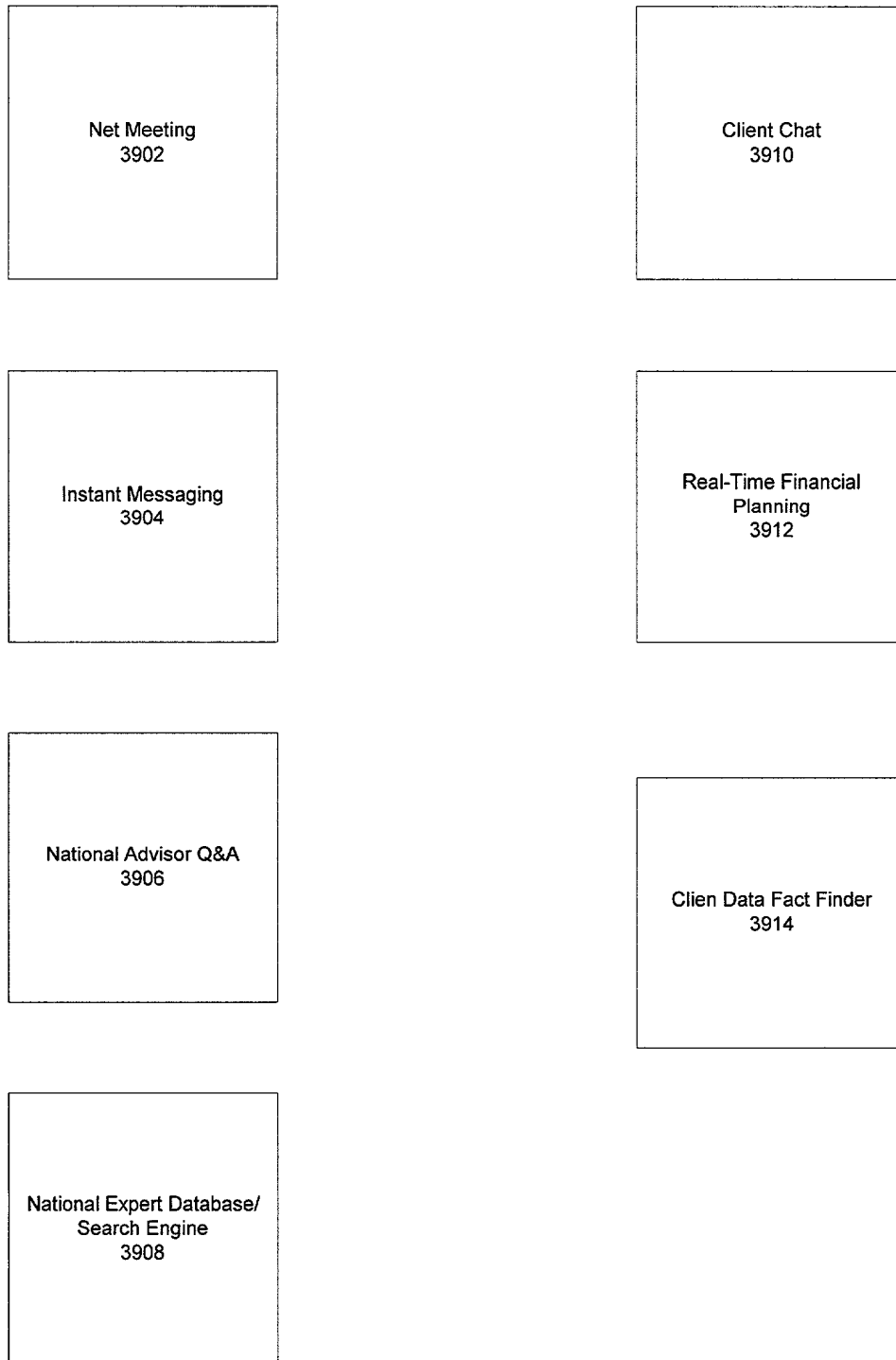


FIG. 39

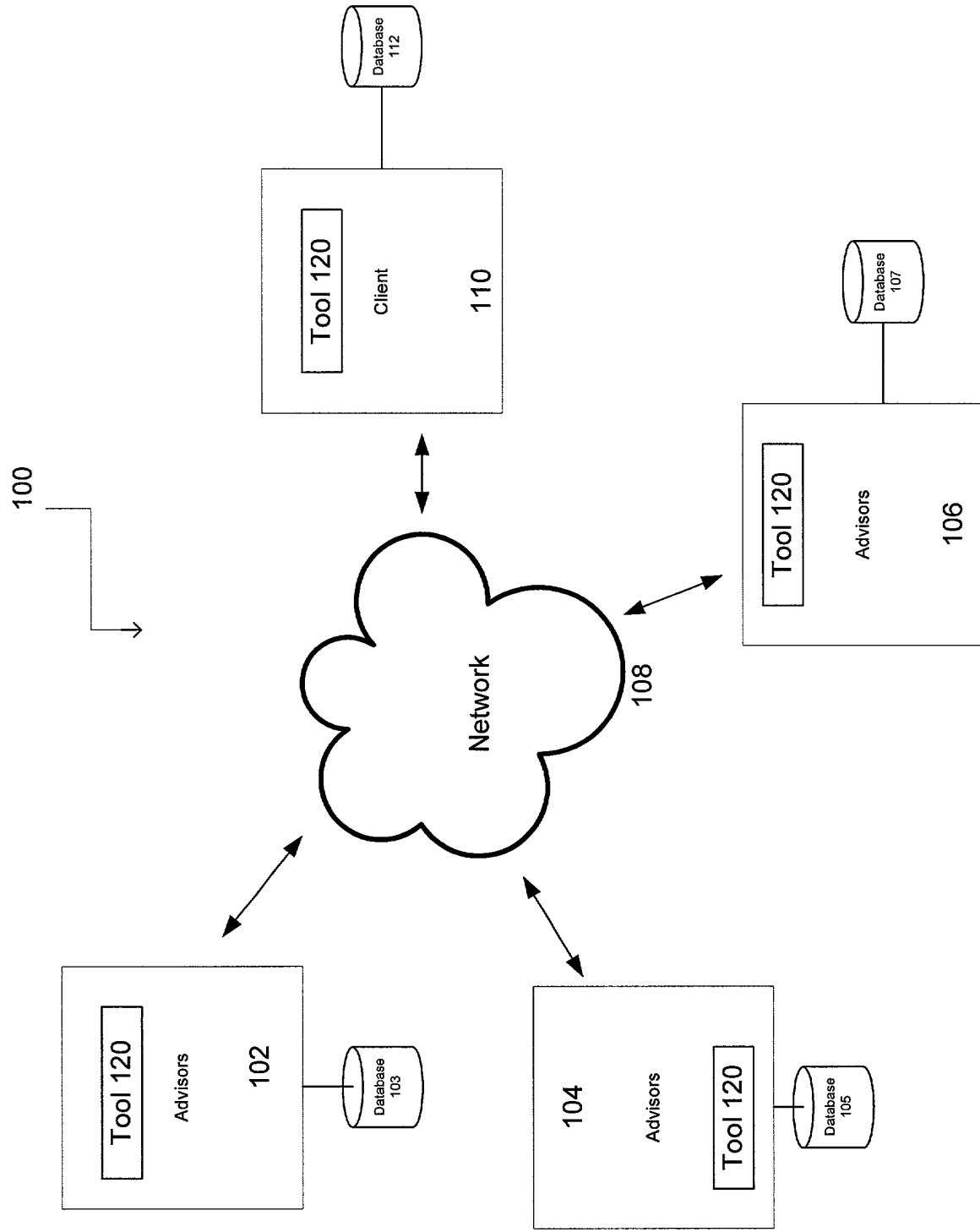


FIG. 40

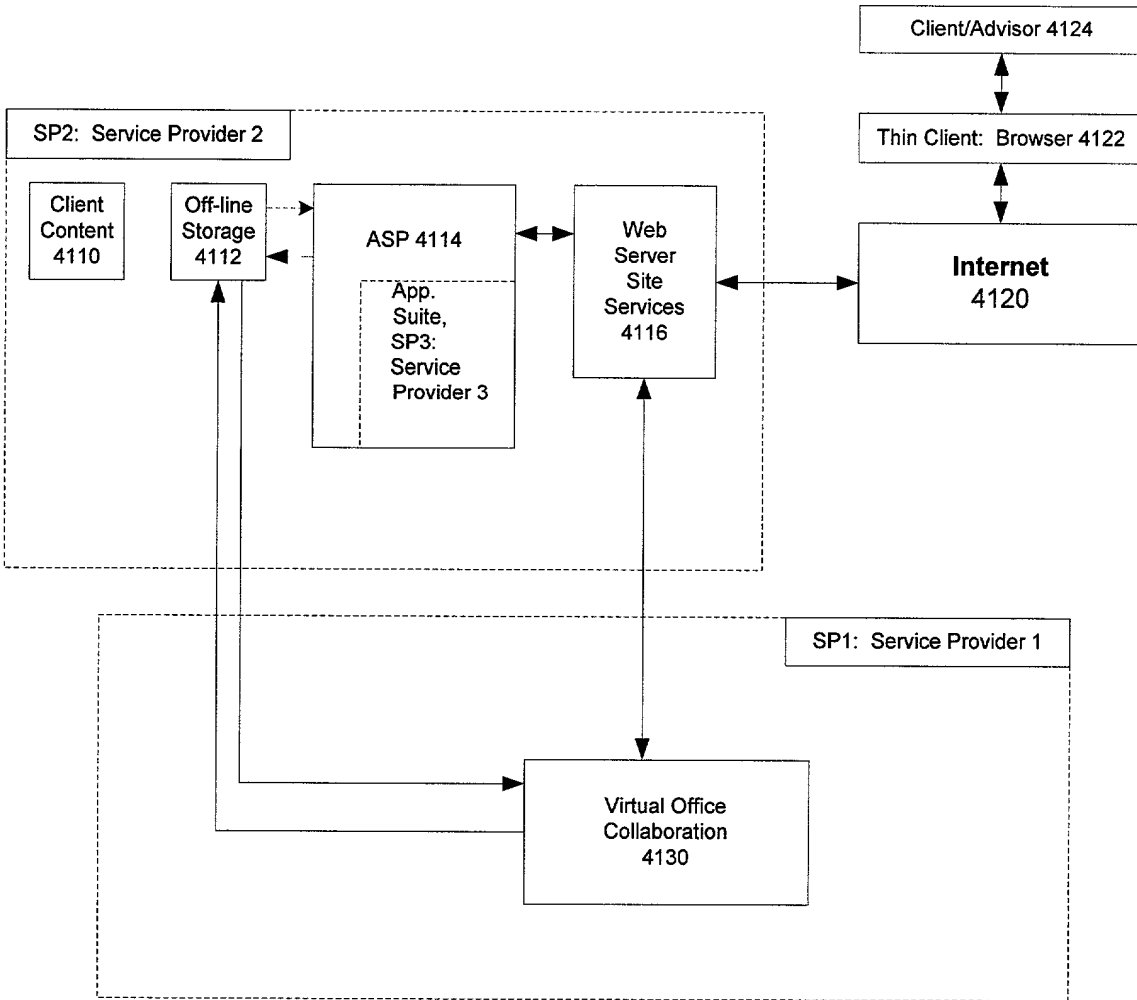


FIG. 41

My Calendar

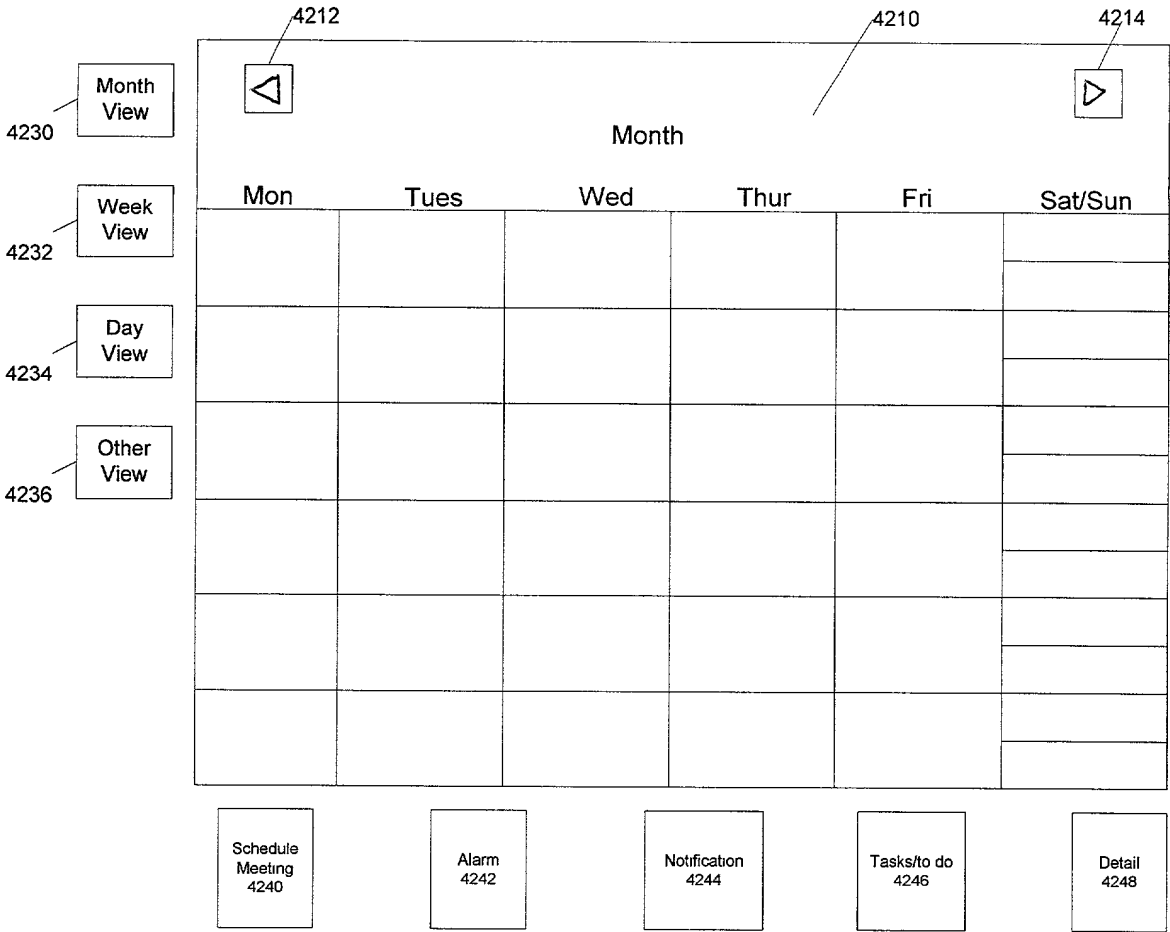


FIG. 42

4300

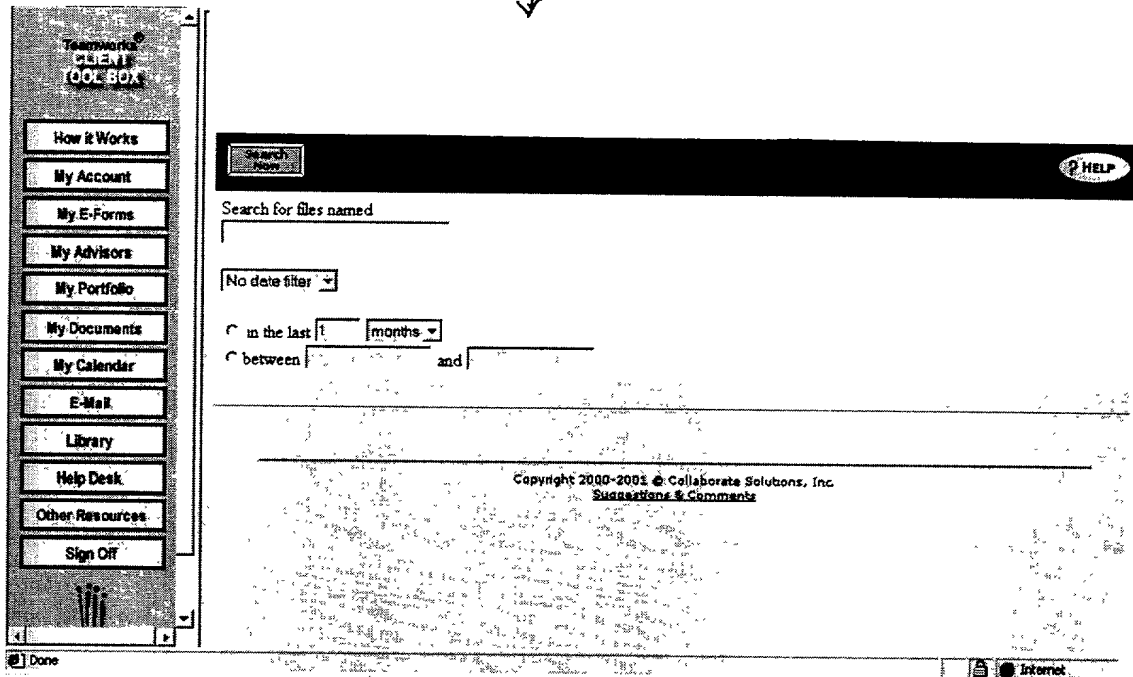


FIG. 43